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《鹿特丹规则》承运人赔偿责任基础研究

Research on the Basis of Liability of the Carrier under the
Rotterdam Rules

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内 容 摘 要

海上货物运输承运人的责任制度是海上货物运输立法的核心，而承运人赔偿责任基础则是该核心中的核心，它决定了海上风险在船方和货方之间的划分。《鹿特丹规则》第十七条规定的承运人赔偿责任基础是一个由归责原则、免责事由、举证责任组成的综合体系。

在归责原则上，《鹿特丹规则》采用的是与《汉堡规则》同样的过错推定责任。但《鹿特丹规则》的归责原则在严格性方面介于《汉堡规则》和《海牙规则》之间。在立法技术上，《鹿特丹规则》综合了《汉堡规则》的一般抽象式立法方式和《海牙规则》明确列举式立法方式，从而形成一个混合的归责原则体系，公约的这种做法主要是为了获得世界两大法系国家普遍接受从而实现公约统一性目标。

在免责事由方面，《鹿特丹规则》采用《海牙规则》明确列举免责事由的做法，同时明确规定如果免责事由是由于承运人一方的过错造成或促成的，承运人将丧失免责。在具体的免责事由方面，《鹿特丹规则》最大的特点就是删除了航海过失免责，这一做法虽然遭到一些国家的反对，但却符合公约现代化的目标。

在举证责任方面，《鹿特丹规则》明确规定了承运人与索赔方各自应当承担的举证责任和举证的顺序。《鹿特丹规则》与《海牙规则》相比最显著的变化包括：（1）明确了承运人适航义务的违反与货损货差的发生必须存在因果关系时承运人才会丧失免责，并规定索赔人承担船舶不适航的初步证明责任，承运人承担不适航与损害不存在因果关系或其已经恪尽职守的证明责任。（2）明确对于并存原因造成的损害，承运人和索赔方均承担对货损发生的因果关系比例的举证责任，并由法院根据双方的举证确定各自责任的比例。

关键词：归责原则；免责事由；举证责任

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ABSTRACT

Maritime carrier's liability regime is the core of the maritime transport system, while the basis of liability of the carrier is based in the heart of the core. The basis of liability of the carrier determines the allocation of risks of the sea between the consigner and the carrier. The basis of liability of the carrier under Article 17 of the Rotterdam Rules is a comprehensive system which composed by principle of imputation, exemption, burden of proof.

As for the principle of imputation, the Rotterdam Rules adopts principle of presumed-fault liability as the Hamburg Rules did, but its severity is between those of the Hamburg Rules and the Hague Rules. The legislative technique of the Rotterdam Rules combines the general abstract-style legislation in the Hamburg Rules and the specifically enumerated legislation in the Hague Rules and formed a mixed system, because the drafters believe that will make the rules more acceptable by both civil law and common law countries ,and achieve the goal of uniformity of the convention designed .

As for the exemption, the Rotterdam Rules enumerates the exemptions as the Hague Rules did, it also clearly stipulated that if the fault of the carrier caused or contributed to the exempting events, he should be liable for the damage. For the list of the exemptions, the most important change of the Rotterdam Rules is the deletion of the nautical fault, Although the deletion was opposed by some countries, it was considered to be in compliance with the goals of modernization that the convention was designed to accomplish.

As for the burden of proof, the Rotterdam Rules clearly stipulates the burden of proof and the steps of proof of the carrier and the claimant. In contrast with the Hague Rules, the most significant change of the Rotterdam Rules includes: (1) stipulated that only when there is causality between unseaworthiness of the vessel and the damage of the goods can the carrier lost the right of exemption. The claimant bears the burden to establish at least a prima facie case of unseaworthiness, then the carrier has to prove there isn't causality between unseaworthiness and the damage ,or he can prove that he has

exercised the requirement of due diligence. (2) stipulated that for the loss due to a combination of causes, both the claimant and the carrier bear the burden to prove the proportion of the causes to the damage, then the court should assess the proportional liability to the carrier and the claimant.

Key Words: Principle of Imputation; Exemption; Burden of Proof

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目 录

前言	1
第一章 承运人赔偿责任基础概述	2
第一节 承运人赔偿责任基础的含义辨析	2
第二节 承运人赔偿责任基础的重要意义及适用限制	3
一、赔偿责任基础的重要意义	3
二、承运人责任期间和责任形式	4
第二章 《鹿特丹规则》中的归责原则	7
第一节 归责原则的历史回顾	7
一、《海牙规则》之前的归责原则	7
二、《海牙规则》与《海牙-维斯比规则》的归责原则	8
三、《汉堡规则》的归责原则	8
第二节 《鹿特丹规则》归责原则——过错推定责任原则	9
一、过错推定原则的一般理论	9
二、《鹿特丹规则》采用过错推定归责原则的原因分析	10
第三节 《鹿特丹规则》归责原则评析	14
一、《鹿特丹规则》与《汉堡规则》推定过错责任比较	14
二、《鹿特丹规则》归责原则在立法技术的评价	14
第三章 《鹿特丹规则》中的免责事由	18
第一节 免责事由概述	18
一、免责事由与归责原则的关系	18
二、公约是否应该列举除外风险的争论	18
三、除外风险是作为承运人的免责事由还是承运人无过错的推定的争论	19
第二节 《鹿特丹规则》的免责事由	21
一、航海过失免责	21
二、火灾免责	24

三、公约其他免责事项的规定	25
第四章 《鹿特丹规则》中的举证责任	27
第一节 举证责任概述	27
一、举证责任的含义	27
二、《海牙规则》和《海牙-维斯比规则》中的举证责任分配	28
三、《汉堡规则》中的举证责任分配	29
第二节 《鹿特丹规则》中的举证责任	30
一、“初步证据案件”原则	30
二、一般免责的举证责任	31
三、免责事由的举证责任	32
第三节 并存原因造成货物损失的举证责任	38
一、“the Vallescura”原则	38
二、美国 COGSA 1999 的规定	39
三、《鹿特丹规则》的规定	40
第五章 《鹿特丹规则》承运人赔偿责任基础评价	42
第一节 《鹿特丹规则》承运人赔偿责任基础与公约现代化和统一化	42
一、公约现代化的要求	42
二、公约统一化的要求	42
第二节 《鹿特丹规则》承运人赔偿责任基础的传承性和务实性	43
一、公约赔偿责任基础的传承性	43
二、公约赔偿责任基础的务实性	44
结论	46
附件：重要法条	47
参考文献	49

CONTENTS

preface.....	1
Chapter 1 Summary of the Basis of Liability of the Carrier	2
Subchapter 1 Definition of the Basis of Liability of the Carrier	2
Subchapter 2 The Significance of the Basis of Liability of the Carrier and the Application Scope.....	3
Section 1 The Significance of the Basis of Liability	3
Section 2 Period of Responsibility and Form of Liability of the Carrier.....	4
Chapter 2 Principle of Imputation in the Rotterdam Rules	7
Subchapter 1 Historical Review of the Principle of Imputation.....	7
Section 1 The Principle of Imputation Before the Hague Rules	7
Section 2 The Principle of Imputation in the Hague Rules and the Hague-Visby Rules	8
Section 3 The Principle of Imputation in the Hamburg Rule.....	8
Subchapter 2 The Principle of Imputation in the Rotterdam Rules--- Principle of Presumed-Fault Liability	9
Section 1 General Theory of the Principle of Presumed-Fault Liability	9
Section 2 Reasons for the Use of the Principle of Presumed-Fault Liability in the Rotterdam Rules.....	10
Subchapter 3 Comment on the Principle of Imputation in the Rotterdam Rules	14
Section 1 Comparison Between the Rotterdam Rules and the Hamburg Rules on the Principle of Presumed-Fault Liability	14
Section 2 Comment on the Legislative Technique of the Principle of Imputation in the Rotterdam Rules.....	14
Chapter 3 Exemption in the Rotterdam Rules	18
Subchapter 1 Summary of the Exemption.....	18
Section 1 The Relation Between the Exemption and the Principle of Imputation	18
Section 2 Debates about whether or not Enumerate the Excluded Perils.....	18

Section3 Debates about the Excluded Perils should be Treated as a Exemption or a Presumption of Fault Deficiency of the Carrier.....	19
Subchapter 2 The Exemption in the Rotterdam Rules.....	21
Section1 The Exemption of the Nautical Fault	21
Section2 The Exemption of the Fire	24
Section3 The other Exemptions	25
Chapter 4 Burden of Proof in the Rotterdam Rules	27
Subchapter 1 Summary of the Burden of Proof	27
Section 1 Definition of the Burden of Proof	27
Section 2 The Allocation the Burden of Proof in the Hague Rules and the Hague-Visby Rules	28
Section 3 The Allocation the Burden of Proof in the Hamburg Rules.....	29
Subchapter 2 The Allocation the Burden of Proof in the Rotterdam Rules....	30
Section 1 The Principle of Prima Facie Case	30
Section 2 The Burden of Proof of the General Exemption	31
Section 3 The Burden of Proof of the Exemption	32
Subchapter 3 The Burden of Proof of the Loss Due to a Combination of Causes.....	38
Section 1 The Principle of "the Vallescura"	38
Section 2 Stipulations in COGSA 1999 of the USA.....	39
Section 3 Stipulations in the Rotterdam Rules	40
Chapter 5 Comment on the Basis of Liability of the Carrier in the Rotterdam Rules.....	42
Subchapter 1 The Basis of Liability of the Carrier and the Demands of Modernization and Unification of the Rotterdam Rules.....	42
Section 1 The Demands of Modernization of the Convention.....	42
Section 2 The Demands of Unification of the Convention.....	42
Subchapter 2 The Inheritance and Practicality of the Basis of Liability of the Carrier in the Rotterdam Rules.....	43

Section 1	The Inheritance of the Basis of Liability of the Carrier.....	43
Section 2	The Practicality of the Basis of Liability of the Carrier	44
Conclusion	46
Annex: Important Provision	47
Bibliography	49

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